

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
REQUEST FOR FILING NATIONAL PATENT APPLICATION  
Under 35 USC 111(a) and Rule 53(b)

PATENT APPLICATION

JC594 U.S. PTO  
09/29/98 3819  
01/28/00

Asst. Commissioner of Patents  
Washington, D.C. 20231

JC685 U.S. PTO

Sir: 01/28/00

WITH SIGNED DECLARATION

NONPROVISIONAL  
NON REISSUE  
NON PCT NAT PHASE

Herewith is the PATENT APPLICATION of  
Inventor(s): SHIBATA, Naoki

Title GROUP III NITRIDE COMPOUND SEMICONDUCTOR  
DEVICE

Atty. Dkt.: PM 266204 | T36-119817M/KOH  
M# Client Ref

including:

Date: January 28, 2000

1. Specification: 16 pages (only spec. and claims)
2.  Specification in non-English language
3. Declaration  Original  Facsimile/Copy  Abstract 1 page(s); 6 numbered claims
4.  Drawings: 3 sheet(s)  informal;  formal of size:  A4  11"
5.  See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not complete corresponding item 5 or 6). (Prior M# \_\_\_\_\_ SN \_\_\_\_\_)
6. AMEND the specification please by inserting before the first line: -- This is a  Continuation-in-Part  
 Divisional  Continuation  Substitute Application (MPEP 201.09) of:  
 6(a)  National Appln. No. \_\_\_\_\_ / filed \_\_\_\_\_ (M# \_\_\_\_\_)  
 6(b)  International Appln. No. \_\_\_\_\_ / filed \_\_\_\_\_
7.  AMEND the specification by inserting before the first line: -- This application claims the benefit of U.S. Provisional Application No. 60/ \_\_\_\_\_, filed \_\_\_\_\_
8.  Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
9.  Prior application is assigned to \_\_\_\_\_

by Assignment recorded \_\_\_\_\_ Reel \_\_\_\_\_ Frame \_\_\_\_\_

10. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in JAPAN

11. (country)

Application No.	Filing Date	Application No.	Filing Date
(1) 11-065880	12 MAR 1999	(2)	
(3)		(4)	
(5)		(6)	
(7)		(8)	
(9)		(10)	

12. \_\_\_\_\_ (No.) Certified copy (copies):  attached;  previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / filed on \_\_\_\_\_

13.  Attached: \_\_\_\_\_ (No.) Verified Statement(s) establishing "small entity" status under Rules 9 & 27.

14. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(4)	
(2)		(5)	
(3)		(6)	

15.  This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16.  Attached:

17.  Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

	Large/Small Entity		Fee Code
18. Basic Filing Fee	\$690/\$345	\$690	101/201
19. Total Effective Claims 6	minus 20 = *0	x \$18/\$9 = + 0	103/203
20. Independent Claims 2	minus 3 = *0	x \$78/\$39 = + 0	102/202
*If answer is zero or less, enter "0"			
21. If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application)	+ \$260/\$130	+ 0	104/204
22.	<b>TOTAL FILING FEE ENCLOSED =</b>	<b>\$690</b>	
23. If "non-English" box 2 is X'd, add Rule 17(k) processing fee	+ \$130	+ 0	139
24. If "assignment" box 8 is X'd, add recording fee	+ \$40	+ 40	581
25. <input type="checkbox"/> Attached is a Petition/Fee under Rule No.	+ \$130	+ 0	122
26.	<b>TOTAL FEE ENCLOSED =</b>	<b>\$730</b>	

Our Deposit Account No. 03-3975

Our Order No. 51273

C# 266204 M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Madison & Sutro LLP  
Intellectual Property Group**

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NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments

# APPLICATION UNDER UNITED STATES PATENT LAWS

Atty. Dkt. No. PM 266204  
(M#)

Invention: GROUP III NITRIDE COMPOUND SEMICONDUCTOR DEVICE

Inventor (s): SHIBATA, Naoki

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DRAFT - NOT FOR FILING

This is a:

- Provisional Application
- Regular Utility Application
- Continuing Application
- PCT National Phase Application
- Design Application
- Reissue Application
- Plant Application
- Substitute Specification  
Sub. Spec Filed  
in App. No. / \_\_\_\_\_

## SPECIFICATION